

CERTIFICATE OF MAILING OR FACSIMILE TRANSMISSION UNDER 37 CFR 1.8(a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is  
\_\_\_ being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope  
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/Mark D. Saralino/

Mark D. Saralino

**May 3, 2006**

Date

ATTORNEY'S DOCKET No. MARSP0175US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(DO/EO/US)**

In re national phase of:

Applicant(s): Adam CAPEWELL et al.  
International Application No.: PCT/JP2004/050022  
International Filing Date: 28 October 2004  
Priority Date Claimed: 12 November 2003  
Title of Invention: FORMATION OF LATTICE-TUNING  
SEMICONDUCTOR SUBSTRATES

**TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED  
OFFICE (DO/EO/US) CONCERNING ENTRY INTO U.S. NATIONAL  
PHASE UNDER 35 U.S.C. 371**

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Applicant herewith submits to the United States Designated/Elected Office  
(DO/EO/US) the following items and other information under 35 U.S.C. 371:

1. This express request to immediately begin national examination procedures (35 U.S.C. 371(f)).
2. The U.S. National Fee (35 U.S.C. 371(c)(1)) and other fees (37 CFR 1.492) as indicated below.

3. A copy of the International application (35 U.S.C. 371(c)(2)):
  - a. ☒ is transmitted herewith  
(International Publication No. WO 2005/048330 A1).
  - b. ☐ is not required, as the application was filed with the United States Receiving Office.
  - c. ☐ has been transmitted by the International Bureau. A copy of Form PCT/IB/308 is enclosed.
4. ☐ A translation of the International application into the English language (35 U.S.C. 371(c)(2)) is transmitted herewith (See "Original PCT" Application).
5. Amendments to the claims of the International application under PCT Article 19 (35 U.S.C. 371(c)(3)):
  - a. ☒ are transmitted herewith.
  - b. ☐ have been transmitted by the International Bureau.
6. ☐ A translation of the amendments to the claims under PCT Article 19 (38 U.S.C. 371(c)(3)) is transmitted herewith.
7. A copy of the international examination report (PCT/IPEA/409)
  - a. ☐ is transmitted herewith.
  - b. ☐ is not required as the United States Patent and Trademark Office was the IPEA.
8. Annex(es) to the international preliminary examination report
  - a. ☐ is/are transmitted herewith(same as Amendment Under PCT Article 34).
  - b. ☐ is not required as the United States Patent and Trademark Office was the IPEA.
9. ☐ A translation of the annexes to the international preliminary examination report is transmitted herewith(same as Amendment Under PCT Article 34).
10. ☐ An oath or declaration of the inventor (35 U.S.C. 371(c)(4)) complying with 35 U.S.C. 115 is submitted herewith.

11. An International Search Report (PCT/ISA/210)
  - a. ☒ is transmitted herewith.
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was searched by the United States International Searching Authority.
12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 is transmitted herewith, along with Form PTO-1449 and copies of citations listed.
13. ☐ An assignment document is transmitted herewith for recording, along with a separate cover sheet.
14. ☒ A Preliminary Amendment is enclosed.
15. ☐ Applicant is a small entity.
16. ☐ Other:

Basic National Fees					Fee
Basic National Stage Fee					\$300.00
National Stage Search Fee (International Search Report prepared by an ISA or other than the US and provided to the Office or previously communicated to the US by the IB)					\$400.00
National Stage Examination Fee					\$200.00
Basic fee →					\$900.00
Claims*	Number filed		Number extra	Rate	
Total claims	17	-20	0	\$50.00	\$0.00
Independent claims	1	-3	0	\$200.00	\$0.00
Multiple dependent claims (if applicable)				\$360.00	
Additional Sheets:					
Sets of 50 over 100 sheets	0	x		\$250.00	\$0.00
Total of above					\$900.00
Small entity statement enclosed, 1 if Yes, 0 if No →				0	\$0.00
Total national fee					\$900.00
Non-English language specification				\$130.00	\$0.00
Total fees enclosed					\$900.00

\*After any attached preliminary amendment reducing the number of claims and/or deleting multiple dependencies.

☒ Credit Card Payment Form to cover the above fees is enclosed.

☐ Please charge our Deposit Account No. 18-0988 in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.

WARNING: TO AVOID ABANDONMENT OF THE APPLICATION THE BASIC NATIONAL FEE MUST BE PAID WITHIN THE 20/30 MONTH TIME LIMIT.

16. The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the entire pendency of this application to our Deposit Account No. 18-0988:

a. ☒ 37 CFR 1.492(a)(1), (2), (3), (4) and (5) (filing fees)

WARNING: BECAUSE FAILURE TO PAY THE NATIONAL FEE WITHIN 30 MONTHS WITHOUT EXTENSION (37 CFR S 1.495(B)(2)) RESULTS IN ABANDONMENT OF THE APPLICATION, IT WOULD BE BEST TO ALWAYS CHECK THE ABOVE BOX.

b. ☐ 37 CFR 1.492(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.492(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

Respectfully submitted,

/Mark D. Saralino/

Mark D. Saralino

Reg. No. 34,243

Direct all correspondence and telephone calls to:

**Customer Number: 43076**

Mark D. Saralino, Esq.

RENNER, OTTO, BOISSELLE & SKLAR, LLP

1621 Euclid Avenue, 19th Floor

Cleveland, Ohio 44115

Tel: 216-621-1113

Fax: 216-621-6165